

## **BROAD AGENCY ANNOUNCEMENT (BAA)**

### **1. Agency Name**

The Air Force Office of Scientific Research (AFOSR)  
Arlington VA

### **2. Funding Opportunity Title**

Air Force Fiscal Year 2016 Young Investigator Research Program

### **3. Announcement Type**

This is the initial announcement.

### **4. Funding Opportunity Number**

BAA-AFRL-AFOSR-2015-0003

### **5. Catalog of Federal Domestic Assistance (CFDA) Number**

12.800 - Air Force Defense Research Sciences Program

### **6. Response Dates**

Proposals must be received by 4:00 PM Eastern Daylight Time, 09 October September 2015

### **7. Additional Overview**

The Air Force Office of Scientific Research (AFOSR) manages the basic research investment for the U.S. Air Force (USAF). As a part of the Air Force Research Laboratory (AFRL), AFOSR's technical experts foster and fund research within the Air Force Research Laboratory, universities, and industry laboratories to ensure the transition of research results to support USAF needs. Using a carefully balanced research portfolio, research managers seek to create revolutionary scientific breakthroughs, enabling the Air Force and U.S. industry to produce world-class, militarily significant, and commercially valuable products. The Young Investigator Research Program (YIP) supports young scientists and engineers in Air Force relevant disciplines and is designed to promote innovative research in science and engineering. The awards foster creative basic research in science and engineering, enhance early career development of outstanding young investigators, and increase opportunities to recognize Air Force mission and challenges in science and engineering.

## **I. Funding Opportunity Description**

AFOSR's Young Investigator Research Program (YIP) supports scientists and engineers who have received Ph.D. or equivalent degrees no earlier than 01 January 2010 and showed exceptional ability and promise for conducting basic research. The objective of this program is to foster creative basic research in science and engineering, enhance early career development of outstanding young investigators, and increase opportunities for the young investigators to recognize the Air Force mission and the related challenges in science and engineering.

AFOSR is seeking unclassified proposals addressing the research areas of interest for the Air Force Research Laboratory. The basic research areas of current interest are available on-line in the current AFOSR BAA (BAA-AFRL-AFOSR-2015-0001): <http://www.grants.gov/web/grants/view-opportunity.html?oppld=276388>

For detailed information regarding technical goals, potential applicants are advised to refer to the announcement cited above and may contact AFOSR program managers listed therein to explore mutual interests before submitting proposals.

## **II. Award Information**

Through this YIP competition, AFOSR plans to make approximately 33 awards for FY 2016, subject to the availability of funds. The anticipated form of awards will be grants; however contracts may also be awarded. The estimated value of each award is approximately \$120K per year for three years. Exceptional proposals will be considered individually for higher funding level and/or longer duration (up to five years upon a successful third year review granting option pickup). AFOSR reserves the right to select and fund for award; all, some, part or none of the proposals received in response to this announcement.

## **III. Eligibility Information**

- 1. Eligible Applicants** – The individual awards will be made to a U.S. institution of higher education, for-profit businesses, or non-profit research organizations as defined by 10 USC 2194 where the principal investigator is employed on a full-time basis. Researchers working at Federally Funded Research and Development Centers and Government Laboratories will not be considered for the YIP competition. The principal investigator must be a U.S. citizen, national, or permanent resident by 01 January 2016 who has received a Ph.D. or equivalent degrees no earlier than 01 January 2010.
- 2. Cost Sharing** – Cost Sharing is not required.
- 3. Other** – The principal investigator either must hold a permanent, career-competitive, or tenure-track position with the applicant or the proposal must include a letter from the applicant stating that the principal investigator will be considered for such a position if he/she currently has a short-term appointment.

## **IV. Application and Submission Information**

**1. Address to Request Application Package** – This announcement may be accessed from the internet at <http://www.Grants.gov/>. See 3(c) Electronic Submission for access instructions.

**2. Marking of Proposals** – Every effort should be made to protect the confidentiality of the proposal and any evaluations. However, under the Freedom of Information Act (FOIA) requirements, such information (or portions thereof) may potentially be subject to release. The proposer must mark the proposal with a protective legend found in FAR 52.215-1(e), Instructions to Offerors – Competitive Acquisition (Jan 2004), if protection is desired for proprietary or confidential information. It is the offerors' responsibility to notify AFOSR of proposals containing proprietary information and to identify the relevant portions of their proposals that require protection. The entire proposal (or portions thereof) without protective markings or otherwise identified as requiring protection will be considered to be furnished voluntarily to AFOSR without restriction and will be treated as such for all purposes.

**3. Content and Form of Application Submission** – All full proposals submitted under the terms and conditions cited in this BAA will be reviewed.

### **a. Pre-Proposal Submissions**

Applicants are encouraged to contact the Program Officer for the subject area to discuss the proposed research effort, particularly the current state of related research, the potential of the effort to advance the state of the art, and anticipated budget. Pre-proposal submissions are under the direction of Program Officer. The Program Officer may request additional information at that time. However, in your conversations with a Government official, be aware that only warranted contracting and grants officers are authorized to commit the Government.

### **b. Full Proposal Submission**

The proposal must be submitted electronically via Grants.gov. All proposers must include the SF 424 (R&R) form as the cover page. Unnecessarily elaborate brochures, reprints or presentations beyond those sufficient to present a complete and effective proposal are not desired.

#### **Full Proposal Format**

- Paper Size – 8.5 x 11 inch paper
- Margin – 1 inch
- Spacing – single
- Font – Times New Roman, 10, 11, or 12 point
- Page Limit – no more than 20 single-sided pages. The Grants.gov forms, abstract, budget, curriculum vitae, references, letters of support (if any), and contract certifications, if required are excluded from the page limitation. Proposals Narratives in excess of the 20 pages (when in the correct format) will not be considered.

- Attachments – Submit in **PDF** format (Adobe Portable Document Format)

### **(1) Advanced Preparation for Electronic Submission**

Electronic proposals must be submitted through Grants.gov. There are several one-time actions your organization must complete before being able to submit applications through Grants.gov. Well before the submission deadline, you should verify that the persons authorized to submit proposals for your organization have completed those actions. If not, it may take them up to 21 days to complete the actions before they will be able to submit applications. The process your organization must complete includes obtaining a Dun and Bradstreet Data Universal Numbering System (DUNS) number, registering with the System for Award Management (SAM), registering with the credential provider, and registering with Grants.gov. (Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called MPIN are important steps in the SAM registration process.) Go to

[http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp) for more information.

Use the Grants.gov Organization Registration Checklist at [http://www.grants.gov/assets/organizationregcheck\\_092112.pdf](http://www.grants.gov/assets/organizationregcheck_092112.pdf) to guide you through the process. To submit a proposal to through Grants.gov, applicants will need to download Adobe Reader. This small, free program will allow you to access, complete, and submit applications electronically and securely. To download a free version of the software, visit the following web site:

<http://www.grants.gov/web/grants/support/technical-support/recommended-software.html>. Consult Grants.gov to ensure you have the required version of Adobe Reader installed. Should you have questions relating to the registration process, system requirements, how an application form works, the submittal process or Adobe Reader forms, call Grants.gov at 1-800-518-4726 or [support@Grants.gov](mailto:support@Grants.gov) for updated information.

### **(2) Submitting the Application**

**Electronic Submission:** Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.Grants.gov>, select “Find Grant Opportunities”, and then follow the instructions. In the Grants.gov search function, enter the funding opportunity number for this announcement: BAA-AFRL-AFOSR-2015-0003. You can also search for the CFDA Number 12.800, Air Force Defense Research Sciences Program. In the Search Results click on the Opportunity title: Young Investigator Research Program (YIP). On the next page, click on the box marked "Application" in the upper right hand corner of the page. Then click on 'Download' under the heading 'Instructions and Application' for the full application package.

For Hard Copy Submission – For hard copy submission, the original proposal and copies must be delivered to the attention of the Program Officer at the Air Force Office of Scientific Research at the following address:

Air Force Office of Scientific Research  
ATTN: Ms. Ellen D. Montgomery  
875 North Randolph Street, Suite 325 Room 3112  
Arlington VA 22203-1768

**Note: All attachments to all forms must be submitted in PDF format (Adobe Portable Document Format).** Grants.gov provides a list of PDF file converters at

[http://www.grants.gov/help/download\\_software.jsp](http://www.grants.gov/help/download_software.jsp). Due to high traffic volume, applicants are highly encouraged to submit applications early. Waiting until the due date and time may result in applications being late. Potential applicants are reminded to plan accordingly. Also, please check Grants.gov prior to submission for any notices posted on Grants.gov offering alternate submission options as a result of system saturation. **SF 424 Research and Related (R&R)**: The SF 424 (R&R) form must be used as the cover page for all proposals.

Complete all the required fields in accordance with the “pop-up” instructions on the form and the following instructions for the specified fields. To see the instructions, roll your mouse over the field to be filled out. You will see additional information about that field. For example on the SF424 (R&R) the Phone Number field says 'PHONE NUMBER (Contact Person): Enter the daytime phone number for the person to contact on matters relating to this application. This field is required.' Mandatory fields will have an asterisk marking the field and will appear yellow on most computers. In Grants.gov, some fields will self-populate based on the BAA selected. Please fill out the SF 424 first, as some fields on the SF 424 are used to auto populate fields in other forms. The completion of most fields is self-explanatory except for the following special instructions:

- **Field 2:** The Applicant Identifier may be left blank.
- **Field 3:** The Date Received by State and the State Application Identified are not applicable to research.
- **Field 7:** Complete as indicated. If Small Business is selected, please note if the organization is Woman-owned and/or socially and economically disadvantaged. If the organization is a Minority Institution, select "Other" and under “Other (Specify)” note that you are a Minority Institution (MI).
- **Field 9:** List Air Force Office of Scientific Research as the reviewing agency. This field is pre-populated in Grants.gov.
- **Field 17:** Select “I Agree” to:

Provide the certification regarding lobbying that is required by law (13 USC 1352, as implemented by the DoD at 32 CFR Part 28). The full text of this certification may be found at <http://www.wpafb.af.mil/shared/media/document/AFD-070817-127.pdf> or a copy will be provided upon request.

Certify that the statements in the proposal and the associated representations on tax delinquency and felony convictions and on entities that require certain internal confidentiality agreements are true, complete and accurate to the best of your knowledge.

- **Field 18:** Attach the representations on tax delinquency and felony convictions. Also attach the SF-LLL or other explanatory documentation if there is lobbying that must be disclosed under 13 USC 1352, as implemented by the DoD at 32 CFR Part 28.
- **Field 20:** Leave Field 20 empty.
- **Attachments:** All attachments to all Grants.gov forms must be submitted in PDF format (Adobe Portable Document Format).

#### **Certifications:**

**Representations on tax delinquency and felony convictions** Check either “is” or “is not” for each of the two representations, as appropriate for the proposing institution, and attach the representations page to field 18 of the SF-424. The representations page is provided with for the full announcement of the funding opportunity under Other Supporting Documents and available for download at grants.gov.

**Representation regarding the Prohibition on Using Funds under Grants and Cooperative Agreements with Entities that Require Certain Internal Confidentiality Agreements** By submission of its proposal or application, the applicant represents that it

does not require any of its employees, contractors, or subrecipients seeking to report fraud, waste, or abuse to sign or comply with internal confidentiality agreements or statements prohibiting or otherwise restricting those employees, contractors, or subrecipients from lawfully reporting that waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information. Note that: (1) the basis for this representation is a prohibition in section 743 of the Financial Services and General Government Appropriations Act, 2015 (Division E of the Consolidated and Further Continuing Appropriations Act, 2015, Pub. L. 113-235) and any successor provision of law on making funds available through grants and cooperative agreements to entities with certain internal confidentiality agreements or statements; and (2) section 743 states that it does not contravene requirements applicable to Standard Form 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

**SF-LLL Form “Disclosure Form to Report Lobbying”** -- If your organization has lobbying activities that you are required to disclose under 31 USC 1352, as implemented by the DoD at 32 CFR part 28, you also must complete and attach the SF-LLL form in the downloaded Adobe forms package at Grants.gov.

**Online Representations and Certifications** If it is determined that a contract is the appropriate vehicle, AFOSR will request additional documentation from prospective awardees. For contract awards, prospective contractors shall complete electronic annual representations and certifications in the System for Award Management (SAM) at <http://www.sam.gov>. The representations and certifications shall be submitted to SAM as necessary, but updated at least annually, to ensure they are current, accurate, and complete. These representations and certifications are effective until one year from date of submission or update to SAM. In addition to the SAM representations and certifications, prospective contractors shall complete the AFOSR Contract Certification which will be supplied upon request.

**Research and Related (R&R) Other Forms:** The following other forms must be used for all electronic and hard copy proposals: R&R Senior/Key Person Profile form, R&R Project/Performance Site Locations form, R&R Other Project Information form and the R&R Budget form. The R&R Subaward Budget Attachment Form is required when subawardees are involved in the effort. The SF-LLL form is required when applicants have lobbying activities to disclose. PDF copies of all forms may be obtained at the Grants.gov website.

**R&R Senior/Key Person Profile Form:** Complete the R&R Senior/Key Person Profile Form for all key persons who will be performing the research. Information about an individual is subject to the requirements of the Privacy Act of 1974 (Public Law 93-579). The information is requested under the authority of Title 10 USC, Sections 2358 and 8013. The principal purpose and routine use of the requested information are for evaluation of the qualifications of those persons who will perform the proposed research. Provide the principal investigator’s eligibility information including the date of receipt of the investigator’s Ph.D. (or equivalent degree) and citizenship (national or permanent resident status).

Failure to provide such information will delay award. For the principal investigator and each of the senior staff, provide a short biographical sketch and a list of significant publications (vitae) and attach it to the R&R Senior/Key Person Profile Form.

**R&R Project/Performance Site Locations Form:** Complete all information as requested.

**R&R Other Project Information Form:** Human Subject/Animal Use and Environmental Compliance.

**Human Subject Research Requirements** - Each proposal must address prospective human subject involvement by addressing Field 1 and 1a of the R&R Other Project Information Form. If selected for award, additional documentation in accordance with U.S. Air Force standards is required. All inquiries for proposals to AFOSR regarding human subject research requirements should go to the AFOSR Research Protections Office at AFOSRHARPO@us.af.mil.

**Animal Subject and rDNA Research Requirements** - Each proposal must address prospective animal subject and/or rDNA involvement by addressing Field 2 and 2a of the R&R Other Project Information Form. If selected for award, additional documentation in accordance with U.S. Air Force standards is required. All inquiries for proposals to AFOSR regarding animal subjects or rDNA research requirements should go to the AFOSR Research Protections Office at AFOSRHARPO@us.af.mil.

**Environmental Compliance** - Federal agencies making contract, grant, or cooperative agreement awards and recipients of such awards must comply with various environmental requirements. The National Environmental Policy Act of 1969 (NEPA), 42 U.S.C. Sections 4321-4370 (a), requires that agencies consider the environmental impact of "major Federal actions" prior to any final agency decision. With respect to those awards which constitute "major Federal actions," as defined in 40 CFR 1508.18, federal agencies may be required to comply with NEPA and prepare an environmental impact statement (EIS) even if the agency does no more than provide grant funds to the recipient. Questions regarding NEPA compliance should be referred to the applicable AFOSR Program Officer. Most research efforts funded by AFOSR will, however, qualify for a categorical exclusion from the need to prepare an EIS. U.S. Air Force instructions/regulations provide for a categorical exclusion for basic and applied scientific research usually confined to the laboratory, if the research complies with all other applicable safety, environmental and natural resource conservation laws. Each proposal shall address environmental impact by filling in fields 4a through 4d of the R&R Other Project Information Form. This information will be used by AFOSR to make a determination if the proposed research effort qualifies for categorical exclusion.

**Data Management Plan** - All proposals must include a supplementary document of no more than two pages labeled "Data Management Plan." The plan should address data management issues such as:

- 1) The types of data, software, and other materials to be produced in the course of the project, with notation marking those that are publicly releasable;
- 2) How the data will be acquired;
- 3) Time and location of data acquisition if they are scientifically pertinent;
- 4) How the data will be processed;
- 5) The file formats and the naming conventions that will be used;
- 6) A description of the quality assurance and quality control measures during collection, analysis, and processing;
- 7) If existing data are to be used, a description of their origins;



- 8) A description of the standards to be used for data and metadata format and content;
- 9) Plans and justifications for archiving the data;
- 10) Appropriate timeframe for preservation; and
- 11) If for legitimate reasons the data cannot be preserved, the plan will include a justification citing such reasons.

Attach the Data Management Plan to the R&R Other Project Information form in field 12, Other Attachments.

**Abstract-** Include a concise (not to exceed 300 words) abstract that describes the research objective, technical approaches, anticipated outcome and impact of the specific research in terms that the public may understand. In the header of the abstract include the Program Officer's name and Department who should receive the proposal for consideration and evaluation. This abstract ***must be marked that it is publicly releasable***. Attach the Abstract to the R&R Other Project Information form in field 7.

Attach the Abstract to the R&R Other Project Information form in field 7.

#### **R&R Other Project Information Form – Project Narrative Instructions:**

**Project Narrative.** Describe clearly the research including the objective and approach to be performed keeping in mind the evaluation criteria listed in Section V of this announcement. Also briefly indicate whether the intended research will result in environmental impacts outside the laboratory, and how the proposer will ensure compliance with environmental statutes and regulations. Attach the proposal narrative to R&R Other Project Information form in field 8.

**Project Narrative - Statement of Objectives.** Describe the actual research to be completed, including goals and objectives, on one-page titled Statement of Objectives. This statement of objectives may be incorporated into the award instead of incorporating the entire technical proposal. Active verbs should be used in this statement (for example, "conduct" research into a topic, "investigate" a problem, "determine" to test a hypothesis). It should not contain proprietary information.

**Project Narrative - Research Effort.** Describe in detail the research to be performed. State the objectives and approach and their relationship and comparable objectives in progress elsewhere. Additionally, state knowledge in the field and include a bibliography and a list of literature citations. Discuss the nature of the expected results. The adequacy of this information will influence the overall evaluation. Proposals for renewal of existing support must include a description of progress if the proposed objectives are related.

**Project Narrative – Principal Investigator (PI) Time.** PI time is required. List the estimate of time the principal investigator and other senior professional personnel will devote to the research. This shall include information pertaining to other commitments of time, such as sabbatical or extended leave; and proportion of time to be devoted to this research and to other research. Awards may be terminated when the principal investigator severs connections with the organization or is unable to continue active participation in the research. State the number of graduate students for whom each senior staff member is responsible. If the principal investigator or other key personnel are currently engaged in research under other auspices, or expect to receive support from other agencies for research during the time proposed for AFOSR support, state the title of the other research, the proportion of time to be devoted to it, the amount of support,

name of agency, dates, etc. Send any changes in this information as soon as they are known. Submit a short abstract (including title, objectives, and approach) of that research and a copy of the budget for both present and pending research projects.

**Project Narrative – Facilities.** Describe facilities available for performing the proposed research and any additional facilities or equipment the organization proposes to acquire at its own expense. Indicate government-owned facilities or equipment already possessed that will be used. Reference the facilities contract number or, in the absence of a facilities contract, the specific facilities or equipment and the number of the award under which they are accountable.

**Project Narrative –Equipment.** List equipment or other property required to perform the proposed research. Segregate items to be acquired with award funds from those to be furnished by the Government. When possible and practicable, give a description or title and estimated cost of each item. When information on individual items is unknown or not available, group the items by class and estimate the values. In addition, state why it is necessary to acquire the property with award funds or to use property furnished by the Government.

**Project Narrative – High Performance Computing Availability.** Researchers who are supported under an AFOSR grant or contract, and meet certain restrictions, are eligible to apply for special accounts and participation in a full- spectrum of activities within the DOD high performance computing modernization program. This program provides, at no cost to the user, access to a range of state-of-the-art high performance computing assets and training opportunities that will allow the user to fully exploit these assets. Details of the capabilities of the program can be found at the following Internet address: <http://www.hpcmo.hpc.mil>. Researchers needing high performance cycles should address the utilization of this program to meet their required needs. AFOSR program managers will facilitate the establishment of accounts awarded.

Attach the Project Narrative to the R&R Other Project Information form in field 8.

**R&R Budget Form:** Estimate the total research project cost. It is anticipated that the awards will have an initial performance period of twelve months with two twelve month options, assuming a January 2016 effective date. However, the start date of the contract is subject to the arrival date of funding and negotiation process. Individual budgets should be provided for each period. Categorize funds by year and provide separate annual budgets for projects lasting more than one year. Estimates should consider major outlays for materials, equipment and other costs. Required funding during the academic year and summer will vary based on proposal research. Applicants who enter a fee on Part J of the budget will not be eligible to receive a grant or cooperative agreement. Attach personnel, equipment, travel, and all other justifications to the budget forms in the areas provided. Equipment purchase will not be funded unless the research cannot be completed by any other practical means. Include the proposed life expectancy of the equipment and whether it will be integrated with a larger assemblage of apparatus. If so, state who owns the existing apparatus. Any sub-awards should have budgets completed on the optional R&R Subaward Budget form(s). Please include the same level of detail as on the primary budget.

#### 4. Other Submission Requirements

The only acceptable electronic submission method is through Grants.gov. Proposals submitted in whole or in part by other electronic methods (computer disk or tape, facsimile machine, email, etc.) will not be accepted.

If a contract is the award instrument and the proposal exceeds \$550,000, a Small Business Subcontracting Plan is required in accordance with FAR 52.219-9.

#### 5. Application Receipt Notices

The applicant's approved account holder for Grants.gov will receive a confirmation page upon completing the submission to Grants.gov. This confirmation page is a record of the time and date stamp that is used to determine whether the proposal was submitted by the deadline. After an institution submits an application, Grants.gov generates a submission receipt via email and also sets the application status to "Received". This receipt verifies the Application has been successfully delivered to the Grants.gov system. Next, Grants.gov verifies the submission is valid by ensuring it does not contain viruses, the opportunity is still open, and the applicant login and applicant DUNS number match. If the submission is valid, Grants.gov generates a submission validation receipt via email and sets the application status to "Validated". If the application is not validated, the application status is set to "Rejected". The system sends a rejection email notification to the institution, and the institution must resubmit the application package. Applicants can track the status of their applications by logging in to Grants.gov. ***A proposal received after the deadline is "late" and will not be considered for an award.***

Proposers will be notified by letter or e-mail that the proposal has been received by AFOSR approximately ten days after the due date.

#### 6. Submission Dates and Time – Full proposals must be received at AFOSR by 4:00 PM, EDT, 14 September 2015.

The proposal must be validated by the Grants.gov to indicate that the Grants.gov has received and kept the submission. Should the site of Grants.gov not be operational on the due date and unable to receive the proposal, the deadline is extended to the same time of the first day when the site is in operation.

Proposals received late will not be considered for the Young Investigators Research Program competition.

#### V. Application Review Information

Proposals submitted under this BAA are evaluated through a peer or scientific review process. If selected for grant/assistance instrument award, evaluation will use merit-based competitive procedures according to DoDGARS citation of 32 CFR Sec 22.315. Proposals may be evaluated by program managers at EOARD/AOARD/SOARD and the appropriate AFRL Technology Directorates, other military services, DoD agencies, and civilian agencies **However as previously stated in Section IV para 2, AFOSR is seeking unclassified proposals. If proprietary information is submitted it is the**

**offerors' responsibility to mark the relevant portions of their proposals as specified in Section IV para 2.** Employees of commercial firms under contract to the Government may also be used to perform administrative duties (e.g., information technology support) related to proposal evaluations and post award administration. By submitting a proposal, offerors consent to allowing access to their proposals by these support contractors. These support contracts include nondisclosure agreements prohibiting their contractor employees from disclosing any information submitted by other contractors. Subject to funding availability, all proposals will be evaluated under the following two primary criteria, of equal importance, as follows:

1. Technical merits of the proposed research and development; and
2. Potential relationship of the proposed research and development to Department of Defense missions.

Other evaluation criteria used in the technical reviews, which are of lesser importance than the primary criteria and of equal importance to each other, are:

1. The likelihood of the proposed effort to develop new research capabilities and broaden the research base in support of U.S. national defense.
2. The proposer's, principal investigator's, team leader's, or key personnel's qualifications, capabilities, related experience, facilities, or techniques or a combination of these factors that are integral to achieving USAF objectives.

Once selected for possible award, price will be analyzed for Cost Realism and Price Reasonableness. Cost/Price is considered, but not an evaluation criteria. Cost sharing will not be considered in the evaluation.

No further evaluation criteria will be used in source selection. The technical and cost information will be analyzed simultaneously during the evaluation process.

Additional administrative information regarding submission of applications is contained in Section VIII below.

Proposals may be submitted for one or more topics or for a specific portion of one topic as described in BAA-AFRL/AFOSR-2015-0001, §I.a.1-§I.e. "Funding Opportunity Description". A proposer may submit separate proposals on different topics or different proposals on the same topic. The U.S. Government does not guarantee an award in each topic area. Further, be advised that as funds are limited, otherwise meritorious proposals may not be funded. Therefore, it is important that proposals show strength in as many of the evaluation areas as practicable for maximum competitiveness.

## **VI. Award Administration Information**

1. **Award Notices** – The Award winners will be announced by end of December 2015. Principal Investigators of successful proposals will receive a notice, by letter or e-mail. For those proposals being recommended for an award, the notification should not be regarded as an authorization to commit or expend funds. Negotiations may result in funding levels that are less than proposed. Only an award document signed by a Government Contracting/Grants Officer will bind the Government. Your business office will be contacted by the grant or contracting officer to negotiate the terms of your award.

**Reporting Requirements** –Annual and final technical reports, financial reports, and final patent reports are required. Copies of publications and presentations should be submitted along with the technical reports. Additional deliverables may be required based on the research being conducted.

Open Access: Effective Oct 1, 2014, copies of all publications resulting from research supported by AFOSR are required to be submitted electronically to the AFOSR Program Officer.

**Additional information for offerors seeking contract awards.**

**(1). 5352.245-9005 Elimination of Competitive Advantage in the Use of Government Property.**

**ELIMINATION OF COMPETITIVE ADVANTAGE IN THE USE OF GOVERNMENT PROPERTY (AFMC) (OCT 2008)**

(a) Unless otherwise specified in this solicitation or attachments, the Government does not plan to furnish any facilities, special tooling, special test equipment or other Government property for use in the performance of the contract resulting from this solicitation.

(b) The Government may, however, authorize such use in accordance with **FAR 45.3**, Providing Government Property to Contractors. To use existing Government property in the performance of this proposed contract, a copy of the cognizant Contracting Officer's written concurrence with such use must be furnished to the Government as a part of the response to this solicitation. Your proposal must include a listing of Government property you desire to use in the performance of the proposed contract, including the following information for each item: nomenclature, date of purchase, acquisition value, number of months of contemplated use (identify first, last, and all intervening months), rental fee, if applicable, and the copy of the Contracting Officer's written concurrence for such use.

(c) In the event that permission for such use of Government property is not authorized and the Contractor must furnish the property to perform the contract, identify the total cost impact, if any, to the proposed price.

(d) An evaluation factor as set forth in **FAR 45.202**, Evaluation Procedures will be used to eliminate any competitive advantage from the use of such property unless the Contracting Officer determines that the use of an evaluation factor would not affect the choice of Contractor.

(End of provision)

**(2). 252.227-7017 Identification and Assertion of Use, Release, or Disclosure Restrictions.**

As prescribed in 227.7103-3(b), 227.7104(e)(2), or 227.7203-3(a), use the following provision:

## IDENTIFICATION AND ASSERTION OF USE, RELEASE, OR DISCLOSURE RESTRICTIONS (JUN 1995)

(a) The terms used in this provision are defined in following clause or clauses contained in this solicitation—

(1) If a successful offeror will be required to deliver technical data, the Rights in Technical Data--Noncommercial Items clause, or, if this solicitation contemplates a contract under the Small Business Innovative Research Program, the Rights in Noncommercial Technical Data and Computer Software--Small Business Innovative Research (SBIR) Program clause.

(2) If a successful offeror will not be required to deliver technical data, the Rights in Noncommercial Computer Software and Noncommercial Computer Software Documentation clause, or, if this solicitation contemplates a contract under the Small Business Innovative Research Program, the Rights in Noncommercial Technical Data and Computer Software--Small Business Innovative Research (SBIR) Program clause.

(b) The identification and assertion requirements in this provision apply only to technical data, including computer software documentation, or computer software to be delivered with other than unlimited rights. For contracts to be awarded under the Small Business Innovative Research Program, the notification and identification requirements do not apply to technical data or computer software that will be generated under the resulting contract. Notification and identification is not required for restrictions based solely on copyright.

(c) Offers submitted in response to this solicitation shall identify, to the extent known at the time an offer is submitted to the Government, the technical data or computer software that the Offeror, its subcontractors or suppliers, or potential subcontractors or suppliers, assert should be furnished to the Government with restrictions on use, release, or disclosure.

(d) The Offeror's assertions, including the assertions of its subcontractors or suppliers or potential subcontractors or suppliers, shall be submitted as an attachment to its offer in the following format, dated and signed by an official authorized to contractually obligate the Offeror:

Identification and Assertion of Restrictions on the Government's Use, Release, or Disclosure of Technical Data or Computer Software

The Offeror asserts for itself, or the persons identified below, that the Government's rights to use, release, or disclose the following technical data or computer software should be restricted:

Technical Data or Computer Software to be Furnished With Restrictions*	Basis for Assertion**	Asserted Rights Category***	Name of Person Asserting Restrictions****
(LIST)*****	(LIST)	(LIST)	(LIST)

\*For technical data (other than computer software documentation) pertaining to items, components, or processes developed at private expense, identify both the deliverable technical data and each such item, component, or process. For computer software or computer software documentation identify the software or documentation.

\*\*Generally, development at private expense, either exclusively or partially, is the only basis for asserting restrictions. For technical data, other than computer software documentation, development refers to development of the item, component, or process to which the data pertain. The Government's rights in computer software documentation generally may not be restricted. For computer software, development refers to the software. Indicate whether development was accomplished exclusively or partially at private expense. If development was not accomplished at private expense, or for computer software documentation, enter the specific basis for asserting restrictions.

\*\*\*Enter asserted rights category (e.g., government purpose license rights from a prior contract, rights in SBIR data generated under another contract, limited, restricted, or government purpose rights under this or a prior contract, or specially negotiated licenses).

\*\*\*\*Corporation, individual, or other person, as appropriate.

\*\*\*\*\*Enter "none" when all data or software will be submitted without restrictions.

Date

\_\_\_\_\_

Printed Name and Title\_\_\_\_\_

Signature\_\_\_\_\_

(End of identification and assertion)

(e) An Offeror's failure to submit, complete, or sign the notification and identification required by paragraph (d) of this provision with its offer may render the offer ineligible for award.

(f) If the Offeror is awarded a contract, the assertions identified in paragraph (d) of this provision shall be listed in an attachment to that contract. Upon request by the Contracting Officer, the Offeror shall provide sufficient information to enable the Contracting Officer to evaluate any listed assertion.

(End of provision)

## **VII. Agency Contact(s)**

Address questions to:

Ms. Ellen D. Montgomery Telephone Number: (703) 588-8527  
Email: [afosryip@us.af.mil](mailto:afosryip@us.af.mil)

Mail to:

Air Force Office of Scientific Research  
ATTN: Ms. Ellen D. Montgomery  
875 North Randolph Street  
Suite 325, Room 3112  
Arlington, Virginia 22203-  
1768

#### **VIII. Additional Information**

- Please be aware that since December 2014 all AFOSR grants have been governed by the guidance in 2 Code of Federal Regulations (CFR) part 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards" as modified and supplemented by the Department of Defense's (DoD) interim implementation of Guidance in 2 CFR part 200" (79 FR 76047, December 19, 2014) all of which are incorporated by reference in AFOSR's grants. Provisions of Chapter 1, Subchapter C of Title 32, CFR, "DoD Grant and Agreement Regulations" other than parts 32 and 33 continue to be in effect and are incorporated in AFOSR grants by reference, with applicability as stated in those provisions. The DoD anticipates issuing Terms and Conditions for all grants, which AFOSR will incorporate by reference at a later date.
- The cost of proposal preparation in response to this Announcement is not considered an allowable direct charge to any resulting award. Such cost is, however, an allowable expense to the normal bid and proposal indirect cost specified in FAR 31.205-18, or 2 CFR §200.460, Proposal Costs.
- Every effort will be made to protect the confidentiality of the proposal and any evaluations. The proposer must mark the proposal with a protective legend in accordance with FAR 52.215-1(e), Instructions to Offerors – Competitive Acquisition (Jan 2004), if protection is desired for proprietary or confidential information.
- Offerors are advised that employees of commercial firms under contract to the Government may be used to administratively process proposals. By submitting a proposal, offerors consent to allowing access to their proposals by these support contractors. These support contracts include nondisclosure agreements prohibiting their contractor employees from disclosing any information submitted by other contractors.
- Only grants and contracting officers are legally authorized to bind the government.
- Responses should reference Broad Agency Announcement BAA-AFRL-AFOSR-2015-0003.



- AFOSR expects the performance of research funded by this announcement to be fundamental. DoD Directive 5230.24 and DoD Instruction 5230.27 define contracted fundamental research in a DoD context as follows:
- “Contracted Fundamental Research. Includes [research performed under] grants and contracts that are (a) funded by budget Category 6.1 ("Research"), whether performed by universities or industry or (b) funded by budget Category 6.2 ("Exploratory Development") and performed on-campus at a university. The research shall not be considered fundamental in those rare and exceptional circumstances where the 6.2-funded effort presents a high likelihood of disclosing performance characteristics of military systems or manufacturing technologies that are unique and critical to defense, and where agreement on restrictions have been recorded in the contract or grant."
- If the proposal is not selected for the Young Investigator Research Program Award, it may be resubmitted under the current AFOSR General BAA, BAA-AFRL-AFOSR-2015-0001, IAW the topic that corresponds with the research.
- Federal Awardee Performance and Integrity Information System (FAPIIS)
  - There is a Government-wide policy on the use of the Federal Awardee Performance and Integrity Information System (FAPIIS) in the award of grants that may affect the agencies' processes for judging proposed recipients to be qualified to receive financial assistance awards. The policy implements requirements of section 872 of the Duncan Hunter National Defense Authorization Act for fiscal year 2009 (Public law 110-417). For additional background information, see the Supplementary Information section in OMB's proposal of the policy for comment, which appeared in the Federal Register on February 18, 2010 [FR 7316]. Note that the particulars of the proposed guidance may change when OMB issues the final guidance.
- SAM Registration

Prospective awardees shall be registered in the SAM database prior to award, during performance, and through final payment of any award resulting from this announcement. Offerors may obtain information on registration and annual confirmation requirements at <http://www.SAM.gov>

- Awardees must:
  - Be registered in the System for Award Management (SAM) prior to submitting an application or proposal;
  - Maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or proposal under consideration by an agency; and
  - Provide its DUNS number in each application or proposal it submits to the agency.
- Reporting Subawards Executive Compensation Reporting of First Tier Subawards

Applicability. Unless you are exempt (in the previous tax year, you had gross income, from all sources, under \$300,000) you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery

funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111–5) for a subaward to [www.acquisition.gov](http://www.acquisition.gov) click on 'Acquisition Systems', then FSRS.

- No Cost Extensions (NCE's)

AFOSR grants NCEs only in situations in which the extension is truly warranted and properly documented. For an extension to be granted, recipients are to provide notice "in writing and with the supporting reasons and revised expiration date at least thirty (30) days prior to the expiration of the award." In no event will the period of performance be extended merely for the purpose of using unobligated balances. Institutions should make every effort to ensure work is completed on time. If an institution deems an NCE is truly warranted, it should submit its request for an extension and supporting reasons to the relevant Program Manager.

- Ombudsman

An ombudsman has been appointed to hear and facilitate the resolution of concerns from offerors, potential offerors, and others for this announcement. When requested, the ombudsman will maintain strict confidentiality as to the source of the concern. The existence of the ombudsman does not affect the authority of the program manager, or contracting/grants officer. Further, the ombudsman does not participate in the evaluation of proposals, the selection process, or the adjudication of protests or formal disputes. The ombudsman may refer the party to another official who can resolve the concern.

- Before consulting with an ombudsman, interested parties must first address their concerns, issues, disagreements, and/or recommendations to the contracting/grants officer for resolution. Consulting an ombudsman does not alter or postpone the timelines for any other processes (e.g., agency level bid protests, GAO bid protests, requests for debriefings, employee-employer actions, contests of OMB Circular A-76 competition performance decisions).
- If resolution cannot be made by the contracting/grants officer, concerned parties may contact the Center/MAJCOM ombudsmen, Ombudsman: Ms. Barbara G. Gehrs, HQ AFRL/PK, Wright-Patterson AFB OH. Telephone: (937) 904-4407, Email: [Barbara.Gehrs@wpafb.af.mil](mailto:Barbara.Gehrs@wpafb.af.mil). Concerns, issues, disagreements, and recommendations that cannot be resolved at the MAJCOM/DRU level, may be brought by the concerned party for further consideration to the Air Force ombudsman, Associate Deputy Assistant Secretary (ADAS) (Contracting), SAF/AQC, 1060 Air Force Pentagon, Washington DC 20330-1060, phone number (703) 588-7004, facsimile number (703) 588-1067.
- The ombudsman has no authority to render a decision that binds the agency.
- Do not contact the ombudsman to request copies of the announcement, verify offer due date, or clarify technical requirements. Such inquiries shall be directed to the contracting/grants officer.

- Payment Process

All grant and contract recipients are expected to access the Invoicing, Receipt, Acceptance and Property Transfer system (iRAPT), part of the Wide Area Workflow eBusiness Suite (WAWF) to submit payment requests.

- Each recipient must register with WAWF at <https://wawf.eb.mil/>. To begin the registration process, click on the accept button at the bottom of the page. WAWF will display the login page with a block for new users and hyperlinks to instructions for "Vendors Getting Started" at the bottom of the page under "Getting Started Help."
- Please note that each recipient must be registered in SAM and have an Electronic Business Point of Contact set up to approve new registrations within their Institution. Each grant or contract recipient will also need to set up a Group Administrator (GAM) to register their CAGE Code and DUNS number, in addition to setting up an organizational email address for email notification from iRAPT advising on the status of vouchers submitted for payment. The grant or contract recipient will also need to contact the WAWF Help Desk to register their CAGE code within the WAWF system. WAWF Help Desk information is available at the WAWF web site.
- If you encounter any problems with your WAWF registration please click on "Vendor Customer Support" in the blue bar at the bottom of the login page. This link will provide phone numbers and an email address to the WAWF Help Desk.
- Full payment instructions will be provided in each grant or contract.